

## IN THE UNITED STATES PATENT &amp; TRADEMARK OFFICE

In re Application of:

Li et al.

Serial No.: 10/528,363

Art Unit: unassigned

Filed: February 25, 2005

Examiner: unassigned

For: A Method and an  
 Apparatus for Controlling the  
 Rate of a Video Sequence; A  
 Video Encoding Device

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

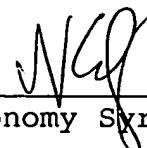
Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313

Sir:

Enclosed please find Applicants' Information Disclosure Statement.

Date: May 24, 2005

By:

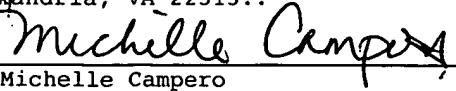

 Niky Economy S. Krengeleas, Esq.

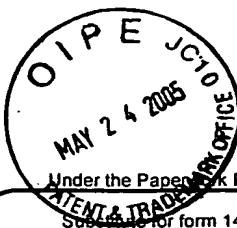
Reg. No. 46680

Certificate of Mailing (37 CFR 1.10)

I hereby certify that this response (along with any paper referred to as being attached or enclosed) is being deposited in Express Mail using Express Mail Post Office to Addressee with the United States Postal Service on the date shown below in an envelop addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313..

Express Mail No. EV 538368955 USS  
 Date: May 24, 2005


 Michelle Campero



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.  
SUSC-0001 for form 1449/PTO

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	Not Yet Assigned
Filing Date	
First Named Inventor	LI Zhengguo et al.
Art Unit	
Examiner Name	
Attorney Docket Number	212/692US

Sheet

of

### U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 5,134,476	07-28-1992	Aravind et al.	
		US- 5,717,464	02-10-1998	Perkins et al.	
		US- 5,872,598	02-16-1999	Legall et al.	
		US- 6,043,844	03-28-2000	Bist et al.	
		US- 6,091,774	07-18-2000	Hyodo et al.	
		US- 6,091,776	07-18-2000	Linzer	
		US- 6,141,380	10-31-2000	Krishnamurthy et al.	
		US- 6,212,232 B1	04-03-2001	Reed et al.	
		US- 6,219,343 B1	04-17-2001	Honkasalo et al.	
		US- 6,229,849 B1	05-08-2001	Mihara	
		US- 6,263,020 B1	07-17-2001	Gardos et al.	
		US- 6,366,614 B1	04-02-2002	Pian et al.	
		US-			

### FOREIGN PATENT DOCUMENTS

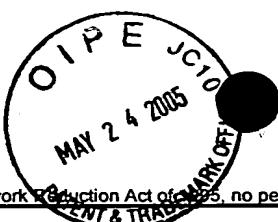
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		EP 0 892 555 A2	01-20-1999	Mitsubishi		
		WO 98/37701 A1	08-27-1998	Sarnoff Corp		
		WO 99/52295 A1	10-14-1999	Sarnoff Corp		

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



PTO/SB/08B (08-03)

Approved for use through 07/31/2006, OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**Substitute for form 1449/PTO**

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

**(Use as many sheets as necessary)**

<p>Substitute for form 1449/PTO</p> <p><b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b></p> <p><i>(Use as many sheets as necessary)</i></p>		<b>Complete if Known</b>	
		Application Number	Not Yet Assigned
		Filing Date	
		First Named Inventor	LI Zhengguo et al.
		Art Unit	
		Examiner Name	
Sheet	of	Attorney Docket Number	212/692US

## NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		"Scalable Rate Control for MPEG-4 Video", Lee et al., IEEE Transactions on Circuits and Systems for Video Technology, Vol 10, Issue 6, Sep 2000, pp878 - 894	
W		"A New Rate Control Scheme Using Quadratic Rate Distortion Model", Chiang et al., IEEE Trans. on Cir. and Systems for Video Technology, Vol 7, Issue 1, Feb 1999, pp246-255	
		"Rate Control in DCT Video Coding for Low-delay Communications", Ribas-Corbera et al., IEEE Trans. on Cir. and Systems for Video Technology, Vol 9, Issue 1, Feb 99, pp172-185	
		"MPEG-4 Rate Control for Multiple Video Objects", Vetro et al., IEEE Transactions on Circuits and Systems for Video Technology, Vol 9, Issue 1, Feb 1999, pp186 - 199	
		"A Novel Rate Control Scheme for Video Over the Internet", Li et al., Proceedings ICASSP 02, IEEE Int. Conf. on Acoustics, Speech, and Signal Processing, Vol 2, pp2065 - 2068	
		"Packetization Algorithms For MPEG-4 Fine Granularity Scalability Over The Internet", Li et al., In the 3rd Workshop and Exhibition on MPEG-4, USA, Jun 2002, pp17-20	
		"MINMAX Frame Rate Control Using a Rate-Distortion Optimized Wavelet Coder", Yang et al., IEEE Int. Conf. on Image Processing, 1999, Vol 3, 24-28 Oct 1999, pp551-555	
		"Optimal Multidimensional Bit-rate Control for Video Communication", Reed et al., IEEE Transactions on Image Processing, Vol 11, Issue 8, Aug 2002, pp 873 - 885	
.		"Digital Video for the Next Millennium", Video Development Initiative (ViDe), White Paper, Apr 99. ( <a href="http://www.vide.net/resources/whitepapers/video/video.pdf">http://www.vide.net/resources/whitepapers/video/video.pdf</a> )	
!			

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including the gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*